

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: UBS AG

Application No./Patent No.: 09/292,552 Filed/Issue Date: April 15, 1999

Entitled: COMPUTER TRADING SYSTEM METHOD AND INTERFACE

UBS AG, a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest in;
2. ☐ an assignee of less than the entire right, title and interest in  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %); or
3. ☐ the assignee of an undivided interest in the entirety of (a complete assignment from one of the joint inventors was made)

in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: INVENTOR(S) To: WIT CAPITAL CORPORATION

The document was recorded in the United States Patent and Trademark Office at  
Reel 009918, Frame 0267, or for which a copy thereof is attached.

2. From: INVENTOR(S) To: WIT CAPITAL CORPORATION

The document was recorded in the United States Patent and Trademark Office at  
Reel 009928, Frame 0775, or for which a copy thereof is attached.

3. From: WIT CAPITAL CORPORATION To: CHARLES SCHWAB & CO., INC.

The document was recorded in the United States Patent and Trademark Office at  
Reel 015567, Frame 0458, or for which a copy thereof is attached.

☒ Additional documents in the chain of title are listed on a supplemental sheet(s).

- ☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

/Jack S Barufka/

Signature

November 21, 2012

Date

Jack S. Barufka

Printed or Typed Name

Appointed Practitioner

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



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Name of Assignee: UBS AG

**SUPPLEMENTAL SHEET TO STATEMENT UNDER 37 CFR 3.73 (b)**  
**Additional Documents in the Chain of Title**

The following is a continuation of the chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

4. From: WIT CAPITAL CORPORATION

To: CHARLES SCHWAB & CO.

The document was recorded in the Patent and Trademark Office at  
Reel 021817, Frame 0319, or for which a copy thereof is attached.

5. From: CHARLES SCHWAB & CO. INC.

To: SCHWAB CAPITAL MARKETS, L.P.

The document was recorded in the Patent and Trademark Office at  
Reel 015292, Frame 0377, or for which a copy thereof is attached.

6. From: SCHWAB CAPITAL MARKETS, L.P.

To: UBS CAPITAL MARKETS L.P.

The document was recorded in the Patent and Trademark Office at  
Reel 015562, Frame 0939, or for which a copy thereof is attached.

7. From: UBS CAPITAL MARKETS L.P. To: UBS AG

The document was recorded in the Patent and Trademark Office at  
Reel 015570, Frame 0404, or for which a copy thereof is attached.

8. From: UBS AG To: UBS AG

The document was recorded in the Patent and Trademark Office at  
Reel 018836, Frame 0025, or for which a copy thereof is attached.

9. From: UBS CAPITAL MARKETS L.P. To: UBS AG

The document was recorded in the Patent and Trademark Office at  
Reel 022034, Frame 0185, or for which a copy thereof is attached.

10. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

11. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

12. From: \_\_\_\_\_ To: \_\_\_\_\_